



DAC  
JAW

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S) Cheng Youn Lu  
PATENT NO.: US 6,909,731 B2  
ISSUE DATE: June 21, 2005  
SERIAL NO.: 10/764,380  
FILING DATE: January 22, 2004  
TITLE: Statistic Parameterized Control Loop For Compensating Power and  
Extinction Ratio Of A Laser Diode  
ATTY. DKT. NO.: 21676-07366

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	John T. McNelis	Dated:	19 Jan 2006
Express Mail Mailing Number (optional):			

ATTN: OFFICE OF PETITIONS  
COMMISSIONER FOR PATENT  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

REQUEST TO CORRECT ASSIGNEE UNDER 37 CFR 3.81(b)

SIR:

Applicant hereby petitions for the issuance of a Certificate of Correction for the above-identified patent application.

1. Enclosed is payment in the amount of \$130.00 for processing fee set forth in 37 CFR 1.117(h);
2. Failure to include the correct assignee name on the PTOL-85B was inadvertent; and
3. Enclosed is a copy of the Notice of Recordation of Assignment Document, Assignment Recordation Cover Sheet and executed Assignment. The Assignment was

01/24/2006 TBESH1 00000038 690731

130.00 GP  
01 FC:1464

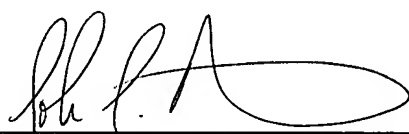
**PATENT**

submitted for recordation on January 22, 2004 and was recorded at Reel 014939 and Frame 0664 in the United States Patent and Trademark Office on January 22, 2004.

When this request is granted, please forward to the Certificate of Correction Branch, for issuance of a Certificate of Correction. The fee of \$100.00 to cover the fee for this Certificate of Correction was sent in on July 29, 2005.

Respectfully submitted,  
Cheng Youn Lu

Dated: 18 Jan 2006

By:   
John T. McNelis, Reg. No. 37,186  
Fenwick & West LLP  
Silicon Valley Center  
801 California Street  
Mountain View, CA 94041  
Tel.: (650) 335-7133  
Fax.: (650) 938-5200



+

<b>TRANSMITTAL FORM</b> (to be used for all correspondence during pendency of filed application)		Patent Number	US 6,909,731 B2
		Issue Date	June 21, 2005
		First Named Inventor	Cheng Youn Lu
		Application Number	10/764,380
		Filing Date	January 22, 2004
Total Number of Pages in This Submission	10	Attorney Docket Number	21676-07366

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal (in duplicate)
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input checked="" type="checkbox"/> Assignment & Recordation Cover Sheet (copy)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Information Disclosure Statement & PTO/SB/08A <input type="checkbox"/> Copies of IDS Cited References	<input checked="" type="checkbox"/> Request to Correct Assignee Under 37 CFR 3.81(b)
<input type="checkbox"/> Request for Corrected Filing Receipt	<input checked="" type="checkbox"/> Notice of Recordation of Assignment Document (copy)
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/> _____
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/> _____
<input type="checkbox"/> Status Request	<input type="checkbox"/> _____
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> _____

REMARKS:

SIGNATURE OF ATTORNEY OR AGENT		
Signature:		
Attorney/Reg. No.:	John T. McNelis, Reg. No. 37,186	Dated: 18 Jan 2006

CERTIFICATE OF MAILING		
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.		
Signature:		
Typed or Printed Name:	John T. McNelis	Dated: 19 Jan 2006
Express Mail Mailing Number (optional):		



<b>FEE TRANSMITTAL</b> <b>for FY 2005</b> Patent fees are subject to annual revision.		<b>Complete if Known</b>	
		Patent Number	US 6,909,731 B2
		Issue Date	June 21, 2005
		First Named Inventor	Cheng Youn Lu
		Patent Number	10/764,380
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Filing Date	January 22, 2004
<b>TOTAL AMOUNT OF PAYMENT (\$)</b> 130.00		Attorney Docket No.	21676-07366

<b>METHOD OF PAYMENT</b> (check all that apply)		<b>FEE CALCULATION</b> (continued)																																																																																																																																																																																												
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Deposit Account: Deposit Account Number: 19-2555 Deposit Account Name: Fenwick & West LLP		<b>3. ADDITIONAL FEES</b>																																																																																																																																																																																												
<b>The Commissioner is authorized to:</b> (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge all required fee(s) or any underpayment of fee(s) due under 37 CFR \$1.16 or \$1.17 during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		<table border="1"><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>1051</td><td>130</td><td>2051</td><td>65</td><td>Surcharge - late filing fee or oath or declaration</td><td></td></tr><tr><td>1052</td><td>50</td><td>2052</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr><tr><td>1053</td><td>130</td><td>1053</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>1812</td><td>2,520</td><td>1812</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr><tr><td>1804</td><td>920*</td><td>1804</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>1805</td><td>1,840*</td><td>1805</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>1251</td><td>120</td><td>2251</td><td>60</td><td>Extension for reply within first month</td><td></td></tr><tr><td>1252</td><td>450</td><td>2252</td><td>225</td><td>Extension for reply within second month</td><td></td></tr><tr><td>1253</td><td>1020</td><td>2253</td><td>510</td><td>Extension for reply within third month</td><td></td></tr><tr><td>1254</td><td>1,590</td><td>2254</td><td>795</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>1255</td><td>2,160</td><td>2255</td><td>1,080</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>1401</td><td>500</td><td>2401</td><td>250</td><td>Notice of Appeal</td><td></td></tr><tr><td>1402</td><td>500</td><td>2402</td><td>250</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>1403</td><td>1000</td><td>2403</td><td>500</td><td>Request for oral hearing</td><td></td></tr><tr><td>1451</td><td>1,510</td><td>1451</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>1452</td><td>500</td><td>2452</td><td>250</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>1453</td><td>1,500</td><td>2453</td><td>750</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>1501</td><td>1,400</td><td>2501</td><td>700</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>1502</td><td>800</td><td>2502</td><td>400</td><td>Design issue fee</td><td></td></tr><tr><td>1503</td><td>1100</td><td>2503</td><td>550</td><td>Plant issue fee</td><td></td></tr><tr><td>1460</td><td></td><td>1460</td><td></td><td>Petitions to the Director</td><td></td></tr><tr><td>1807</td><td>50</td><td>1807</td><td>50</td><td>Processing fee for Provisional Applications</td><td></td></tr><tr><td>1806</td><td>180</td><td>1806</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>8021</td><td>40</td><td>8021</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>1809</td><td>790</td><td>2809</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>1810</td><td>790</td><td>2810</td><td>395</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td>1801</td><td>790</td><td>2801</td><td>395</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>1802</td><td>900</td><td>1802</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr><tr><td colspan="4">Other fee (specify) <u>Request to Correct Assignee Under 37 CFR 3.81(b)</u></td><td>130</td></tr><tr><td colspan="2"><b>SUBTOTAL (1)</b> (\$)</td><td colspan="2"><b>SUBTOTAL (3)</b> (\$)</td></tr></tbody></table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1051	130	2051	65	Surcharge - late filing fee or oath or declaration		1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet		1053	130	1053	130	Non-English specification		1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination		1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action		1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action		1251	120	2251	60	Extension for reply within first month		1252	450	2252	225	Extension for reply within second month		1253	1020	2253	510	Extension for reply within third month		1254	1,590	2254	795	Extension for reply within fourth month		1255	2,160	2255	1,080	Extension for reply within fifth month		1401	500	2401	250	Notice of Appeal		1402	500	2402	250	Filing a brief in support of an appeal		1403	1000	2403	500	Request for oral hearing		1451	1,510	1451	1,510	Petition to institute a public use proceeding		1452	500	2452	250	Petition to revive - unavoidable		1453	1,500	2453	750	Petition to revive - unintentional		1501	1,400	2501	700	Utility issue fee (or reissue)		1502	800	2502	400	Design issue fee		1503	1100	2503	550	Plant issue fee		1460		1460		Petitions to the Director		1807	50	1807	50	Processing fee for Provisional Applications		1806	180	1806	180	Submission of Information Disclosure Stmt		8021	40	8021	40	Recording each patent assignment per property (times number of properties)		1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))		1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))		1801	790	2801	395	Request for Continued Examination (RCE)		1802	900	1802	900	Request for expedited examination of a design application		Other fee (specify) <u>Request to Correct Assignee Under 37 CFR 3.81(b)</u>				130	<b>SUBTOTAL (1)</b> (\$)		<b>SUBTOTAL (3)</b> (\$)	
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<b>1. BASIC FILING FEE</b> Large Entity Small Entity Fee Code Fee Code Fee Description Fee Paid SUBTOTAL (1) (\$)		<b>2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE</b> Total Claims Extra Claims Fee from below Fee Paid Independent Claims Multiple Dependent Large Entity Small Entity Fee Code Fee Code Fee Description SUBTOTAL (2) (\$)																																																																																																																																																																																												

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	John T. McNelis	Registration No. (Attorney/Agent)	37,186
Signature		Date	18 Jan 2006



RECEIVED

AUG 09 2004

UNITED STATES PATENT AND TRADEMARK OFFICE

FENWICK & WEST LLP

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

7366 US

AUGUST 04, 2004

PTAS



\*102661973A\*

FENWICK & WEST LLP  
EILEEN A. LEHMANN, ESQ.  
SILICON VALLEY CENTER  
801 CALIFORNIA STREET  
MOUNTAIN VIEW, CA 94041

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/22/2004

REEL/FRAME: 014939/0664

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LU, CHENG YOUN

DOC DATE: 01/22/2004

ASSIGNEE:

CENTILLIUM COMMUNICATIONS, INC.  
47211 LAKEVIEW BOULEVARD  
FREMONT, CALIFORNIA 94538

SERIAL NUMBER: 10764380

FILING DATE: 01/22/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: STATISTIC PARAMETERIZED CONTROL LOOP FOR COMPENSATING POWER AND  
EXTINCTION RATIO OF A LASER DIODE

014939/0664 PAGE 2

LAZENA MARTIN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-04-2004



102661973

To the Honorable Commissioner For Patents: Please record the attached original documents or copy thereof:

## 1. Name of conveying party(ies):

Cheng Youn Lu

Additional name(s) of conveying party(ies) attached?

☐ Yes☒ No

## 3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other: \_\_\_\_\_

Execution Date: January 22, 2004

## 2. Name and address of receiving party(ies):

Name: Centillum Communications, Inc.

Internal Address:

Street Address: 47211 Lakeview Boulevard

City: Fremont

State: CA Zip: 94538

Additional name(s) &amp; address(es) attached?

☐ Yes☒ No

16834 U.S. PTO

10/764380



012204

## 4. Application number(s) or patent number(s): 10 764380

If this document is being filed together with a new application, the execution date of the application is: January 22, 2004

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Eileen A. Lehmann, Esq.

Internal Address: Fenwick &amp; West LLP

Street Address: Silicon Valley Center  
801 California Street

City: Mountain View State: CA Zip Code: 94041

## 6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41): \$40.00

☒ Check Enclosed☒ Fee Transmittal Enclosed☐ Charge the indicated fees to the below mentioned deposit account.

8. Deposit Account No.:

DO NOT USE THIS SPACE

## 9. Statement and signature:

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Eileen A. Lehmann, Reg. 39,272

Name of Person Signing

*Eileen A. Lehmann*

Signature

01/22/04

Date

Total number of pages including cover sheet, attachments, documents: [3]

Mail documents to be recorded with required cover sheet information to: Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450.

Case Docket No.: 21676-07366

02/03/2004 ECDOPER 00000232 10764380

01 FC:8021

40.00 GP

21676/07366/DOCS/1406839.1

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the person(s) named below (referred to as "INVENTOR" whether singular or plural) has sold, assigned, and transferred and does hereby sell, assign, and transfer to **Centillum Communications, Inc.**, a Delaware corporation, having a place of business at **47211 Lakeview Boulevard, Fremont, California 94538**, ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The entire worldwide right, title, and interest in all inventions and improvements ("SUBJECT MATTER") that are disclosed in the provisional application filed under 35 U.S.C. §111(b) or non-provisional application filed under 35 U.S.C. §111(a) and entitled **Statistic Parameterized Control Loop for Compensating Power and Extinction Ratio of a Laser Diode** ("APPLICATION"), which:

☒ is to be filed herewith

☐ was filed on

now bearing U.S. application number \_\_\_\_\_; and

2. The entire worldwide right, title, and interest in and to:  
 (a) the APPLICATION; (b) all applications claiming priority from the APPLICATION;  
 (c) all utility, divisional, continuation, substitute, renewal, reissue, and other applications related thereto which have been or may be filed in the United States or elsewhere in the world; (d) all patents (including reissues and re-examinations) which may be granted on the applications set forth in (a), (b), and (c); and (e) all right of priority in the APPLICATION, together with all rights to recover damages for infringement of provisional rights.

INVENTOR agrees that ASSIGNEE may apply for and receive patents for SUBJECT MATTER in ASSIGNEE's own name.

INVENTOR agrees to do the following, when requested, and without further consideration, in order to carry out the intent of this Assignment: (1) execute all oaths, assignments, powers of attorney, applications, and other papers necessary or desirable to fully secure to ASSIGNEE the rights, titles and interests herein conveyed; (2) communicate to ASSIGNEE all known facts relating to the SUBJECT MATTER; and (3) generally do all lawful acts that ASSIGNEE shall consider desirable for securing, maintaining, and enforcing worldwide patent protection relating to the SUBJECT MATTER and for vesting in ASSIGNEE the rights, titles, and interests herein conveyed. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE hereunder.

INVENTOR represents that INVENTOR has the rights, titles, and interests to convey as set forth herein, and covenants with ASSIGNEE that the INVENTOR has not made and will not hereafter make any assignment, grant, mortgage, license, or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR grants the attorney of record the power to insert on this Assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment.



JAN-22-2004 09:24PM FROM-FENWICK&amp;WEST MOUNTAIN VIEW

6509385200

T-552 P.005/005 F-797

PATENT

Title of Document: ASSIGNMENT

Re:

Title:

Statistic Parameterized Control Loop for Compensating Power and  
Extinction Ratio of a Laser Diode

Filed: (if applicable)

January 22, 2004

Application No.: (if applicable)

not yet known

Name and Signature

Date of

Signature

Cheng Youn Lu

1/22, 2004

State of \_\_\_\_\_ }  
}

County of \_\_\_\_\_ } ss.

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary  
Public, personally appeared Cheng Youn Lu personally known to me or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to  
me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or  
the entity upon behalf of which the person acted, executed the instrument.

Notary Seal

Notary

21676/D7366/DOCS/1406337.1